

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No.: 10/699,859
Date Filed: October 31, 2003
Title: ELECTRONIC SYSTEMS AND METHODS FOR PROVIDING
A TRADING INTERFACE WITH ADVANCED FEATURES
Applicants: Howard Lutnick, et. al.
Group Art Unit: 3691
Confirmation No.: 5126
Examiner: Hatem Ali

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Pursuant to 37 C.F.R. §§ 1.56, 1.97, and 1.98, Applicants submit herewith patents, publications or other information that may be material to the examination of this application or that may be within a duty to disclose.

Applicants respectfully request that the Examiner fully consider the items listed on the enclosed PTO Form-1449, to independently ascertain their teaching, and to initial beside each reference listed. Please return a copy of the initialed citation form to the Applicants' undersigned attorney

In addition, the undersigned attorney has been unable to establish a date for these two documents:

- Photographs of a Cantor Fitzgerald trading keyboard ("Cantor Keyboard")
- Photographs of a BrokerTec USA, LLC trading keyboard ("BrokerTec Keyboard").

For purposes of examination, the Examiner may assume that these two keyboards are § 102(b) prior art to this application. Applicants reserve the right to establish a later date in the event that these photographs are applied as prior art.

Applicants reserve the right to establish the patentability of any claim over any of the information provided. The filing of this Information Disclosure Statement shall not be construed as an admission or representation that (a) a thorough search has been made; (b) the information cited is, or is considered to be, material to patentability; (c) no additional material information exists; (d) Applicant agrees with any statement(s) in the information cited; (e) any reference is prior art; (f) any reference has been reviewed; (g) any reference is analogous art; (h) the listed publication date of any reference is the date on which the reference was actually first published; (i) the information cited is enabling or otherwise sufficient for the teachings purportedly proffered thereby.

The Examiner is specifically requested not to rely solely on the information submitted by Applicants in this Information Disclosure Statement or in other documents submitted by Applicants.

It is understood that the Examiner will consider information that has been previously considered by the U.S. Patent and Trademark Office in a prior application relied on under 35 U.S.C. § 120 (other than an international application that designated the U.S.), as required by MPEP § 609.02.

FEES AND/OR CERTIFICATIONS

I. NO FEE DUE

No fee is due for this Information Disclosure Statement because it is submitted:

- ☒ in compliance with 37 C.F.R. § 1.97(b)(4) before the mailing of a first Office Action after the filing of a Request for Continued Examination under §1.114.

It is not believed that any additional fees are required beyond those that may otherwise be provided for in this paper or documents accompanying this paper. However, if additional fees are necessary to prevent abandonment of this application, then any fees required therefor are hereby authorized to be charged to Deposit Account No. 50-3938.

Respectfully submitted,

March 9, 2012
Date

/Ruth J. Ma/
Ruth J. Ma
Attorney for Assignee
PTO Registration No. 55,414
(857) 413-2056 / phone
rma@cantor.com